

UTILITY PATENT  
APPLICATION TRANSMITTAL

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney Docket No.

010417

Total Pages

First Named Inventor or Application Identifier

Teiji YAMAMOTO, Akira HASHIMOTO and  
Hiroyuki NAKAISHI

Check Box, if applicable [ ] Duplicate

Express Mail Label No.

APPLICATION ELEMENTS FOR:  
SEAL ASSEMBLY AND CRAWLER-TRACK CONNECTION  
STRUCTURE

ADDRESS TO: Commissioner for Patents  
BOX PATENT APPLICATIONS  
Washington, D.C. 20231

1. [XX] Fee Transmittal Form (Incorporated within this form) (The filing fee is deferred).

2. [XX] Specification Total Pages [31]

3. [XX] Drawing(s) (35 USC 113) Total Sheets [7]

4. [ ] Oath or Declaration Total Pages [ ]  
**NOT attached; deferred under P.L. 97-247.**

a. [ ] Newly executed (original)

b. [ ] Copy from prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed).

i. [ ] Deletion of Inventor(s)

Signed statement attached deleting inventor(s) named in prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).

5. [ ] Incorporation by reference (useable if box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

6. [ ] Microfiche Computer Program (Appendix)

7. [ ] Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. [ ] Computer Readable Copy

b. [ ] Paper Copy (identical to computer copy)

c. [ ] Statement Verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. [ ] Assignment Papers (cover sheet and document(s)) to: **KOMATSU LTD., Tokyo, Japan**

9. [ ] 37 CFR 3.73(b) Statement (when there is an assignee) [ ] Power of Attorney

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10. ☐ English translation Document (if applicable)

11. ☐ Information Disclosure Statement ☐ Copies of IDS Citations

12. ☒ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)

14. ☐ Small Entity Status is claimed.

15. ☐ Claim for Convention Priority ☐ Certified copy of Priority Document(s)

a. Priority of \_\_\_\_\_ application No. \_\_\_\_\_ filed on \_\_\_\_\_ is claimed under 35 USC 119.

16. ☐ Other \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior application no. \_\_\_\_/\_\_\_\_

FEE TRANSMITTAL	Number Filed	Number Extra	Rate	Basic Fee
The filing fee is calculated below				\$710.00
Total Claims	21 - 20	1	x \$18.00	18.00
Independent Claims	2 - 3		x \$80.00	
Multiple Dependent Claims			\$270.00	270.00
Basic Filing Fee				998.00
Reduction by 1/2 for small entity				
Fee for recording enclosed Assignment			\$40.00	40.00
TOTAL				\$1038.00

**XX NO FEE ENCLOSED. THE FILING FEE IS DEFERRED.**

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- ☐ A check in the amount of \$ \_\_\_\_\_ is enclosed to cover the filing fee of \$ \_\_\_\_\_ and the assignment recordation fee of \$ \_\_\_\_\_.
- ☐ Please charge our Deposit Account No. **01-2340** in the total amount of \_\_\_\_\_ to cover the filing fee and the \_\_\_\_\_ assignment recordation fee. A duplicate of this sheet is attached.
- ☐ The Commissioner is hereby authorized to charge payment for any additional filing fees required under 37 CFR 1.16 or credit any overpayment to Deposit Account No. **01-2340**. A duplicate of this sheet is attached.

18. CORRESPONDENCE ADDRESS:



23850

PATENT TRADEMARK OFFICE

SUBMITTED BY

Typed or Printed Name Mel R. Quintos

Reg. No. 31,898

Signature

Date: March 22, 2001

MRQ/yap